



2866
JF

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

46

| | |
|------------------------|------------------|
| Application No. | 09/897,174 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Jian Li |
| Group Art Unit | 2826 |
| Examiner Name | Thomas L. Dickey |
| Attorney Docket Number | 42390P10047 |

RECEIVED
U.S. PATENT & TRADEMARK OFFICE
SEP 10 2003

ENCLOSURES (check all that apply)

- Fee Transmittal Form
- Fee Attached
- Amendment / Response
 - After Final
 - Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
 - PTO/SB/08
- Certified Copy of Priority Document(s)
- Response to Missing Parts/Incomplete Application
 - Basic Filing Fee
 - Declaration/POA
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Drawing(s)
- Licensing-related Papers
- Petition
- Petition to Convert a Provisional Application
- Power of Attorney, Revocation Change of Correspondence Address
- Terminal Disclaimer
- Request for Refund
- CD, Number of CD(s)

- After Allowance Communication to Group
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- Proprietary Information
- Status Letter
- Other Enclosure(s) (please identify below):
 - copies of 37 art references
 - return receipt postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature | |
| Date | September 2, 2003 |

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| | |
|-----------------------|-------------------|
| Typed or printed name | Irene Urbas |
| Signature | |
| Date | September 2, 2003 |

Based on PTO/SB/21 (03-03) as modified by Blakely, Sokoloff, Taylor & Zafman (WII) 09/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

OIF
SEP 04 2003

PATENT & TRADEMARK OFFICE

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

| | |
|----------------------|------------------|
| Application Number | 09/897,174 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Jian Li |
| Examiner Name | Thomas L. Dickey |
| Group/Art Unit | 2826 |
| Attorney Docket No. | 42390P10047 |

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None

Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to check all that apply:

- Charge fee(s) indicated below Credit any overpayments
- Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | | Fee Paid | | |
|--------------|--------------|----------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
| 1001 | 750 | 2001 | 375 | Utility filing fee | |
| 1002 | 330 | 2002 | 165 | Design filing fee | |
| 1003 | 520 | 2003 | 260 | Plant filing fee | |
| 1004 | 750 | 2004 | 375 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | |

2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------|----------------|----------|
| | | 29* | = | |
| | | 4 | = | |

| Large Entity | Small Entity | | Fee Description | Fee Paid | |
|--------------|--------------|----------|-----------------|---|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 | |
| 1201 | 84 | 2201 | 42 | Independent claims in excess of 3 | |
| 1203 | 260 | 2203 | 140 | Multiple Dependent claim, if not paid | |
| 1204 | 84 | 2204 | 42 | **Reissue independent claims over original patent | |
| 1205 | 18 | 2205 | 9 | **Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | |

*or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

| Large Entity | Small Entity | | Fee Description | Fee Paid | |
|---------------------|--------------|----------|-----------------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 2053 | 130 | 2053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for ex parte reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 410 | 2252 | 205 | Extension for reply within second month | |
| 1253 | 930 | 2253 | 465 | Extension for reply within third month | |
| 1254 | 1,450 | 2254 | 725 | Extension for reply within fourth month | |
| 1255 | 1,970 | 2255 | 985 | Extension for reply within fifth month | |
| 1404 | 320 | 2401 | 160 | Notice of Appeal | |
| 1402 | 320 | 2402 | 160 | Filing a brief in support of an appeal | |
| 1403 | 280 | 2403 | 140 | Request for oral hearing | |
| 1451 | 1,510 | 2451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,300 | 2453 | 650 | Petition to revive - unintentional | |
| 1501 | 1,300 | 2501 | 650 | Utility issue fee (or reissue) | |
| 1502 | 470 | 2502 | 235 | Design issue fee | |
| 1503 | 630 | 2503 | 315 | Plant issue fee | |
| 1460 | 130 | 2460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 750 | 1809 | 375 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 750 | 2810 | 375 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 750 | 2801 | 375 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | | | | |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 | Telephone | (503) 684-6200 | Complete (if applicable) |
|-------------------|---------------------|-----------------------------------|--------|-----------|----------------|--------------------------|
| Signature | | | | | | Date |
| | | | | | 09/02/03 | |

Based on PTO/SB/17 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wlr) 08/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Docket No.: 42390P10047

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JIAN LI, ET AL.

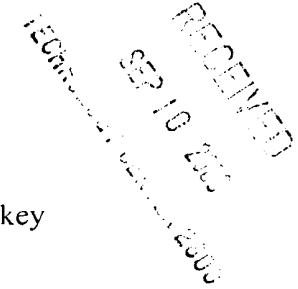
Application No.: 09/897,174

Filed: June 29, 2001

For: **LOW-VOLTAGE AND INTERFACE
DAMAGE-FREE POLYMER MEMORY
DEVICE**

Art Group: 2826

Examiner: Thomas L. Dickey



INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

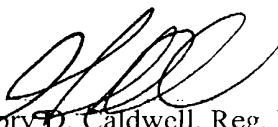
In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



Gregory D. Caldwell, Reg. No. 39,926

Date: September 02, 2003

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(503) 684-6200

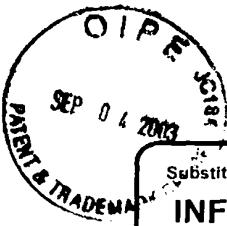
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Irena Urbas

09-02-03

Date



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

3

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/897,174 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Jian Li |
| Art Unit | 2826 |
| Examiner Name | Thomas L. Dickey |
| Attorney Docket Number | 42390P10047 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number Number - Kind Code ² (if known) | Publication Date or Issue Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|---|--|---|
| 1 | US-2002-0093845 A1 | 07-18-2002 | Matsuoka et al. | | |
| 2 | US-2002-0024835 A1 | 02-28-2002 | Thomson et al. | | |
| 3 | US-2002-0000005 A1 | 01-03-2002 | Jermier | | |
| 4 | US-2002/0044480 A1 | 04-18-2003 | Gudesen et al. | | |
| 5 | US-6,072,718 | 06-06-2000 | Abraham et al. | | |
| 6 | US-5,927,206 | 07-27-1999 | Bacon et al. | | |
| 7 | US-6,269,018 | 07-31-2001 | Monsma et al. | | |
| 8 | US-3,623,038 | 11-23-1971 | Franklin et al. | | |
| 9 | US-4,593,456 | 06-10-1986 | Cheung | | |
| 10 | US-6,314,641 B1 | 11-13-2001 | Akram | | |
| 11 | US-5,939,775 | 08-17-1999 | Bucci et al. | | |
| 12 | US-5,843,808 | 12-01-1998 | Karnezos | | |
| 13 | US-6,324,069 B1 | 12-27-2001 | Weber | | |
| 14 | US-5,592,643 | 07-07-1997 | Thomas | | |
| 15 | US-6,210,979 | 04-03-2001 | Kweon et al. | | |
| 16 | US-6,337,032 | 01-08-2002 | Chivukula et al. | | |
| 17 | US-6,420,190 | 07-16-2002 | Shimoda et al. | | |
| 18 | US-5,248,564 | 09-28-1993 | Ramesh | | |
| 19 | US-5,438,023 | 08-01-1995 | Argos et al. | | |
| 20 | US-5,519,566 | 05-21-1996 | Perino et al. | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | 21 | JP 363 293 729 A | 11-30-1988 | Yamaguchi et al. | T* |

Examiner
Signature

Date
Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 2 of 3

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/897,174 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Jian Li |
| Art Unit | 2826 |
| Examiner Name | Thomas L. Dickey |
| Attorney Docket Number | 42390P10047 |

OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials* Cite No.¹ Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. T²

22 IBM Technical Disclosure Bulletin, Vol. 37 (11), pages 421-424, 1994

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Applicant's unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003
Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 3 of 3

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/897,174 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Jian Li |
| Art Unit | 2826 |
| Examiner Name | Thomas L. Dickey |
| Attorney Docket Number | 42390P10047 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
| | 23 | US-5,578,867 | 11-26-1996 | Argos et al. | |
| | 24 | US-5,777,356 | 07-07-1998 | Dhote et al. | |
| | 25 | US-5,838,035 | 11-17-1998 | Ramesh | |
| | 26 | US-5,864,932 | 02-02-1999 | Evans et al. | |
| | 27 | US-6,054,331 | 04-25-2000 | Woo et al. | |
| | 28 | US-6,115,281 | 09-05-2000 | Aggarwal et al. | |
| | 29 | US-6,171,934 | 01-09-2001 | Joshi et al. | |
| | 30 | US-6,265,230 | 07-24-2001 | Aggarwal et al. | |
| | 31 | US-6,323,512 | 11-27-2001 | Noh et al. | |
| | 32 | US-6,376,259 | 04-23-2002 | Chu et al. | |
| | 33 | US-4,873,455 | 10-10-1989 | De Chambost et al. | |
| | 34 | US-5,499,206 | 03-12-1996 | Muto | |
| | 35 | US-6,072,716 | 06-06-2000 | Jacobson et al. | |
| | 36 | US-6,194,229 | 02-27-2001 | Basceri | |
| | 37 | US-4,538,884 | 09-03-1985 | Masaki | |
| | US- | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | | | | T ⁶ |

Examiner
Signature

Date
Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wir) 08/11/2003.

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450